

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

SHIMADA et al

Serial No. 10/771,263

Filed: February 4, 2004

For: Transmission Type Liquid Crystal Display Having A  
Transparent Colorless Organic Interlayer Insulating Film  
Between Pixel Electrodes and Switching



Atty. Ref.: 829-620

Group: 2871

Examiner: unknown

\* \* \* \* \*

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**INFORMATION DISCLOSURE STATEMENT**

- ☒ 1. **PTO-1449 Pursuant to 37 CFR 1.97(b)**  
[within 3 months of filing or prior to 1st Office Action] N/C
- ☐ 2. **Statement Pursuant to 37 CFR 1.97(c)**  
[before Final Office Action or Allowance] N/C
- ☐ 3. **Fee Payment Pursuant to 37 CFR 1.97(c)**  
[before Final Office Action or Allowance] \$180.00
- ☐ 4. **Pursuant to 37 CFR 1.97(d)**  
[before Issue Fee payment] \$180.00

The following are submitted in the above-identified application in compliance with 37 C.F.R. §§ 1.97 and 1.98:


- ☒ 5. A list of documents on Form PTO-1449 together with copies of each foreign reference and identified documents and a translation or a concise explanation of each non-English language document is enclosed herewith. Copies of the articles on page 4 of the PTO-1449 are not available, but will be submitted at a future date.
  - ☒ a) The U.S. 5,166,085 and U.S. 4,759,610 references cited in the Chinese Office Action were previously submitted in the parent application.

This paper is submitted in accordance with:

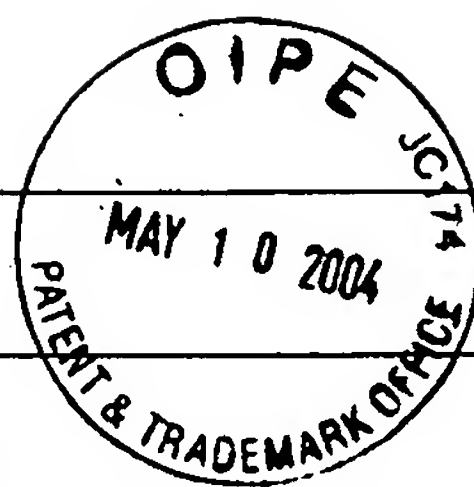
- ☒ 6. 37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action]
- ☐ 7. 37 CFR 1.97(c): [before Final Office Action or Allowance, whichever is earlier]; and
- ☐ a) The required Statement made in item 9 below; or
- ☐ b) The \$180.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement is authorized in item 10 below.
- ☐ 8. 37 CFR §1.97(d): [before issue fee payment]; and
- ☐ a) The fee (\$180.00) required by 37 CFR §1.17(p) is submitted herewith; and
- ☐ b) The required Statement is stated in item 9 below.
- ☐ 9. Statement under 37 CFR 1.97(e)
- ☐ a) The undersigned attorney of record hereby certifies under 37 C.F.R. §1.97(e) that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement (each item contained in this IDS was the first citation of that item by a foreign patent office in a counterpart foreign application which occurred no more than three months prior to the filing of this IDS); or
- ☐ b) No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement, after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
- ☒ 10. Please charge all deficiency fees associated with the submission of this Information Disclosure Statement and any other fees applicable to this application to Deposit Account No. 14-1140. An original and one (1) copy of this document are enclosed.

Respectfully submitted,  
NIXON & VANDERHUYE P.C.

May 10, 2004

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**INFORMATION DISCLOSURE  
CITATION**

ATTY. DOCKET NO.

829-620

APPLICANT

SHIMADA et al

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SERIAL NO.

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GROUP

2871

(Use several sheets if necessary)

**U.S. PATENT DOCUMENTS**

| *EXAMINER<br>INITIAL | DOCUMENT NUMBER | DATE    | NAME            | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|----------------------|-----------------|---------|-----------------|-------|----------|-------------------------------|
|                      | 4,431,272       | 2-1984  | Yazawa et al.   |       |          |                               |
|                      | 4,451,525       | 5-1984  | Kawazoe et al.  |       |          |                               |
|                      | 4,636,038       | 1-1987  | Kitahara et al. |       |          |                               |
|                      | 4,943,838       | 7-1990  | Ukai            |       |          |                               |
|                      | 5,003,356       | 3-1991  | Wakai et al.    |       |          |                               |
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|---|--------------|---------|---------|-------|----------|-----------------------|
| * | 05-4865-047  | 5-1992  | EP      |       |          |                       |
| ✓ | 0 486 047 A2 | 5-1992  | EP      |       |          |                       |
| ✓ | 0 536 898 A1 | 4-1993  | EP      |       |          |                       |
| ✓ | 0 589 478 A2 | 3-1994  | EP      |       |          |                       |
| ✓ | 0 589 478 A3 | 3-1994  | EP      |       |          |                       |
| ✓ | 0 616 241 A2 | 9-1994  | EP      |       |          |                       |
| ✓ | 0 714 140 A1 | 5-1996  | EP      |       |          |                       |
| ✓ | 2 311 653 A  | 10-1997 | GB      |       |          |                       |
| ✓ | 63-279228 A  | 11-1988 | JP      |       |          | partial               |
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|           |  |                 |  |
|-----------|--|-----------------|--|
| *Examiner |  | Date Considered |  |
|-----------|--|-----------------|--|

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.

Form PTO-FB-A820 (Also PTO-1449)

\* Did not Received these patents.  
- 3 -

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|                      | 5,641,974       | 6-1997  | Den Boer et al. |       |          |                               |
|                      | 5,675,187       | 10-1997 | Numata et al.   |       |          |                               |
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|---|-------------|---------|---------|-------|----------|-------------|----|
|   |             |         |         |       |          | YES         | NO |
| ✓ | 4-6318 A    | 3-1992  | JP      |       |          | partial     |    |
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| ✓ | 6-242467 A  | 9-1994  | JP      |       |          | partial     |    |
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| INFORMATION DISCLOSURE<br>CITATION | ATTY. DOCKET NO. | SERIAL NO. |
|                                    | 829-620          | 10/771,263 |
|                                    | APPLICANT        |            |
| (Use several sheets if necessary)  | SHIMADA et al    |            |
|                                    | FILING DATE      | GROUP      |
|                                    | February 4, 2004 | 2871       |

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| ✓ | 7-209670 A | 8-1995  | JP      |       |          | partial               |
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| ✓ | Notice of Reasons for Rejection mailed March 21, 2000 in corresponding JP application No. 10-220219 (JP Patent No. 3247870)                        |
| ✓ | Notice of Final Rejection mailed December 26, 2000 in corresponding JP application No. 10-220219 (JP Patent No. 3247870)                           |
| * | Decision on Appeal mailed October 12, 2001 in corresponding JP application No. 10-220219 (JP Patent No. 3247870)                                   |
| ✓ | Opposition Proceedings mailed September 13, 2002 in corresponding JP application No. 10-220219 (JP Patent No. 3247870)                             |
| * | Decision on Appeal mailed October 23, 2001 in corresponding JP application No. 10-220219 (JP Patent No. 3247870)                                   |
| ✓ | Notice of Reasons for Rejection mailed March 21, 2000 in corresponding JP application No. 10-220220 (JP Patent No. 3253589)                        |
| ✓ | Notice of Final Rejection mailed December 26, 2000 in corresponding JP application No. 10-220220 (JP Patent No. 3253589)                           |
| ✓ | Decision on Appeal mailed October 23, 2001 in corresponding JP application No. 10-220220 (JP Patent No. 3253589)                                   |
| * | Notice of Reasons for Rejection mailed March 16, 2004 in corresponding JP application No. 2001-44409, which is a divisional appln. of JP 10-220220 |
| ✓ | Notice of Reasons for Rejection mailed March 16, 2004 in corresponding JP application No. 2001-47716, which is a divisional appln. of JP 10-220219 |
| ✓ | Chinese Office Action and English translation thereof mailed January 4, 2002 in corresponding Chinese Application No. 96111648                     |

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